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C1. IDENTIFYING AUTHENTICATED RECORDS

Not all authentication is performed at the same level or for the same purposes. As special projects have been developed and varying levels of cataloging have been defined, authentication has come to mean different things. The following synopsis gives the various groups performing authentication, the meaning of this authentication, and the identifying features in the records. See Part II for definitions of the fields and subfields referred to below.

C1.1. Library of Congress

The Serial Record Division, Library of Congress, creates full, core, and minimal level records and is the final authority for all non-Canadian imprint serials. The National Serials Data Program, a section within the Serial Record Division, is the authority for ISSN-related elements in records for U.S. imprints.

C1.1.1. LC full and core level cataloging

Descriptive elements have been reviewed; all name/series headings are authoritative. LC full level records begin as partial or "In process" records (encoding level = 5; 050 = IN PROCESS) and remain as such until subject headings and an LC call number are supplied by subject catalogers, whereupon the subject elements are added by the Serial Record Division and the encoding level is changed to "#" or "4".

Identifying features are an LCCN in field 010 and code "lc" in field 042. "DLC" appears in field 040 in either subfield \$c or \$d.

C1.1.2. LC minimal level cataloging

Descriptive elements for original and adapted records have been reviewed. Name headings have been searched against the LC Name Authority and bibliographic files and authoritative AACR2 forms have been used when available. If not found in the NAF, an AACR2 form is supplied using the rules and rule interpretations. All numbered series are authoritative. Beginning in 1994, subject headings in adapted records have been verified to assure that they are currently valid and constructed correctly.

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Identifying features are code "msc" or "lcd" in field 042, a WMLC control number or Microform control number in field 050, and "DLC" in field 040.

C1.1.3. National Serials Data Program

All ISSN and related elements have been verified according to the *ISSN Manual* or its predecessor, *Guidelines for ISDS*. The ISSN and related elements include the 008/20 (ISSN Center Code), 008/33 (Original Alphabet of Title Code), 022 (ISSN), 210 (Abbreviated Title), and 222 (Key Title). Other descriptive elements are supplied according to the ISSN Guidelines and AACR2. Name headings have been searched against the LC Name Authority and bibliographic files, and, for records authenticated after January 1981, authoritative AACR2 forms have been used when available. If not found in the NAF, an AACR2 form is supplied using the rules and rule interpretations.

Identifying features are code "nsdp" in field 042, and "NSD" in field 040. Beginning in 1988, NSDP also assigns code "msc" or "lcd" to reflect the authoritativeness of headings in the record. The encoding level for minimal records is "7". The encoding level for prepublication records is "8".

C1.1.4. New Serial Titles

In March 1993 the New Serial Titles Section was abolished. The publication was discontinued at the end of 1999. The following information applies to records authenticated by the section prior to March 1993.

Holdings information in field 850 has been verified. Descriptive elements have been accepted as found on existing records, or based on information supplied by a reporting institution when no online record is available.

Name headings have been searched against the LC Name Authority and bibliographic files, and, for records authenticated after Jan. 1981, authoritative AACR2 forms used when available. If not found in the NAF, an AACR2 form is supplied using the rules and rule interpretations.

Identifying features are an "sn"-prefixed LCCN in field 010, code "msc" or "lcd" in field 042, the symbol "NST" in field 040, and the presence of an 850 field. Older records carry code "nst" in field 042; this code is no longer used.

C1.2. Library and Archives Canada

As the authority for Canadian imprints, LAC authenticates its own records as well as those of others. LAC authenticates titles that have a Canadian imprint as well as certain serials that are of Canadian interest. ISSN Canada is the authority for the ISSN and related elements in records with Canadian imprints.

C1.2.1. LAC full level cataloging

Descriptive elements are reviewed; name/series headings are authoritative. Subject headings, LC class number, and Dewey number are assigned.

Identifying features are "ce", "cf", or "cn" prefixed LCCN in field 010 and code "nlc" in field 042. Full records are identified by encoding level "#".

C1.2.2. LAC minimal level cataloging

Descriptive elements have been reviewed but subject headings are not assigned. LC class numbers are assigned to non-government serials. LC class numbers are assigned to serials other than periodicals. Abridged Dewey numbers (i.e., 12th ed.) are assigned.

C1.2.3. LAC abbreviated level cataloging

Descriptive elements have been reviewed but subject headings and classification numbers are not assigned. Series added entries are not provided. Name headings have been established according to AACR2. LAC abbreviated records are identified by encoding level "7".

C1.2.4. ISSN Canada

The ISSN and all related elements have been verified according to the *ISSN Manual* or its predecessor, *Guidelines for ISDS*. These elements include the 008/20 (ISSN Center Code), 022 (ISSN), 210 (Abbreviated Title), and 222 (Key Title). Most records authenticated by ISSN Canada are also LAC-authenticated. Encoding level "7" signifies that only the ISSN and related elements have been reviewed.

The identifying feature is code "isds/c" in field 042.

C1.3. CONSER Members

CONSER members may catalog titles at the full, core, or minimal bibliographic level.

Descriptive elements in all records have been reviewed. Name headings are in authoritative AACR2 form per the Name Authority File or AACR2-based. Other identifying features are an "sn"-prefixed control number in field 010 for records created prior to 2000 by CONSER members and NSDP; regular LC control numbers, e.g. 2001-229252, on records created after 2000 by CONSER members and NSDP; and the symbol of the CONSER member in field 040.

C1.4. U.S. Newspaper Program

These records are similar to CONSER minimal level records. Descriptive elements have been reviewed. Name headings are in authoritative AACR2 form per the Name Authority File or AACR2-based.

Identifying features are an "sn"-prefixed LCCN in field 010 (USNP institutions are the only CONSER participants to use sn prefixed LCCN for records created after 2000), code "msc" in field 042, encoding level "7", the symbol of the USNP institution in field 040, and field 752. (For a list of symbols, see A1.)

C1.5. CONSER Abstracting and Indexing Coverage Project

The A&I Project conversion staff did not authenticate records; however, many of the records updated have been previously or are subsequently authenticated by one of the institutions above. The purposes of the A&I Project include adding indexing and abstracting information to records via field 510, as well as adding ISSN and related elements (fields 022, 210, 222). On records to which project staff added complete verified ISSN and related elements, the National Serials Data Program authentication code "nsdp" was used in conjunction with field 012 \$j P to authenticate the ISSN and related elements while flagging the fact that additional bibliographic maintenance done by NSDP has not been done for these records.

Identifying features are the presence of the symbol "AIP" in field 040 and the presence of one or more 510 fields in the record.

C2. PARTICIPANT AUTHENTICATION

C2.1. General Procedures

CONSER members¹ have been authenticating their own records since 1984. Participant authentication begins with the review of the contents of a record. All essential elements must be present in the record (as determined by the level of cataloging expressed in the encoding level). These elements must be technically correct, adhering to the appropriate rules, interpretations, and coding guidelines. The record as a whole must also conform to the agreed-upon practices outlined in this manual.

| CONSER authenticated records currently consist only of serial records. While both BIBCO and
| CONSER libraries create and maintain records for integrating resources, records for them cannot
| be authenticated until bibliographic level “i” is implemented by OCLC (see CEG B7).

All National and Full members must also verify the authoritativeness of all name and series headings used in the record. While authoritative headings are not mandatory for minimal level records, all headings must be searched against the LC Name Authority File on OCLC and must be used in AACR2 form.

Once the review of the record is complete, certain data elements which are required to identify the record as a CONSER record for purposes of record selection and distribution are added and/or changed. The identifying elements are an LC control number (field 010)² and a CONSER authentication code (field 042) of "lcd" or "msc".

Participant authentication does not preclude the possibility of subsequent authentication. However, once a record has been authenticated by LC or NLC with an authentication code of "lc" or "nlc", it is not further authenticated by a CONSER member. For online modifications that may be made to LC-authenticated records, see C3 or for NLC-authenticated records, see C12.

New members begin authenticating their own records once the review period is complete. For details, see A4.

¹ While all participants in the Program are "CONSER members", for purposes of this document, "CONSER member" refers to an institution other than the Library of Congress or the National Library of Canada. Likewise, "participant authentication" refers to that performed by institutions other than LC and NLC.

² Prior to January 2000, CONSER participants used "sn"-prefixed numbers in CONSER records.

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CONSER members do not have to authenticate every record they create. They may exclude certain records from CONSER, or they may request additional assistance in order that the record be properly authenticated (e.g., the necessary language expertise is not resident within the institution). In such cases, surrogates are sent to LC or another CONSER member, as appropriate.

Surrogates are also sent to LC to substantiate requests for revision or corrections that cannot be made by CONSER members (see C3). Surrogates are also required for records with a series that has not been established or for headings in Chinese, Japanese, or Korean. For instructions on submitting surrogates, see C11.

C2.2. CONSER ID Elements

C2.2.1. Encoding level

When authenticating records, CONSER members use MARC 21 encoding levels of # (full level), 4 (core), or 7 (minimal level) rather than the OCLC-defined codes (I and K). This applies to original input and authentication of existing records.

C2.2.2. Record control number

All full and associate CONSER members add an LC control number in subfield \$a of field 010 if an LCCN is not already present and the record is not previously authenticated. Cancelled, invalid, or unverified LCCNs are carried in 010 \$z. The content of the 010 \$a is especially important because it becomes the record control number (field 001) upon processing by LC. The OCLC control number is moved to the 035 field when the record is converted to MARC 21. For an incoming record to replace an existing MARC 21 record in LC's local database, the records must match on both the LCCN and the OCLC Control Number. For an incoming record to replace an existing non-LC CONSER record in the CDS serials file, the records must match the LCCN and Date Entered on File (fixed field 008/00-05).

If an incorrectly input LCCN is detected in a CONSER-authenticated record, the CONSER member can consult with LC to determine how to correct field 010 so that the correct LCCN is recorded in both the OCLC, LC and /or CONSER databases. CONSER members may need to delete the incorrect record from the CONSER database prior to correcting the 010 in OCLC. It must be clear, however, which OCLC control number is paired with which LCCN in the CONSER database system before the record deletion is processed. The following information must be verified before changing the LCCN in the CONSER database:

<u>OCLC Record</u>		<u>LC/CONSER Record</u>
OCLC control number	=	Field 035
Field 010 \$a	=	Field 001

Once it is clear that a new LCCN needs to be assigned to a CONSER record and that the control numbers match in OCLC and LC/CONSER, then the following steps are performed to delete the incorrect record from the LC/CONSER database and to add the record with the correct number.

1. Lock the record in OCLC.
2. Add field 012 \$z d.³
3. Replace and relock the record.
4. Add the correct LCCN to field 010 subfield \$a.⁴
5. Remove \$z d from the 012 field.
6. Replace and update the record.

Once the correct LCCN has been assigned to the CONSER record in OCLC, a cataloger can then make additional changes, as needed.

CONSER members may also receive an emailed error report from the Automated Operations Coordinator, LC Serial Record Division, that indicates an LCCN was input in field 010 in OCLC that is already assigned to a different OCLC control number in LC/CONSER. This situation does not generally require the deletion of a record, but may be resolved by inputting a new LCCN in field 010 subfield \$a of the record in error.⁵

CONSER members should consult with LC if there are any questions about assigning LCCN to CONSER records, or any other problems with the distribution or conversion of the record.

C2.2.3. Authentication code

Two authentication codes are defined for use by CONSER members:

Code "lcd" is used in records in which all name headings and series are established, i.e., backed by AACR2-coded records in the Name Authority File, and in records for which no name/series

³If field 012 is already present, add only \$z d. If subfield \$b is also present in field 012, set the value to "3."

⁴The incorrect LCCN may be moved to subfield \$z of the 010 field.

⁵It should first be determined which OCLC control number is, or is not present in LC/CONSER.

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headings are appropriate.⁶

Code "msc" is used in records for which one or more name headings are not established; all headings in the records, nonetheless, must be constructed in accordance with AACR2 provisions.

CONSER members **may** add an 042 code to the following records:

- 1) Records originally input.
- 2) Existing unauthenticated records
- 3) Existing records authenticated by NSDP that have only a code of "nsdp" and prepublication records with only a code of "msc." (See C6.1 for instructions regarding NSDP prepublication records).
- 4) Existing records authenticated as "msc" when the institution is establishing the headings and changing the code to "lcd".
- 5) Records with an 042 code of "xlc". In some cases, especially with conference publications, a CONSER member may wish to authenticate a serial record on which LC has added xlc to the 042.
- 6) Records with code "xnlc" may be authenticated by CONSER members by adding "lcd" or "msc" before the "xnlc" code.

CONSER Participants **may not** add an 042 code to the following records:

- 1) All records authenticated with an 042 code of "lc", "lcd", or "nlc". (These records are already authenticated at the highest level; "lc" and "lcd" records may, however, be modified per C3.)

C2.2.4. Holding institution code

When authenticating records, CONSER members also report whether they hold the publication by recording their institution symbol in field 850. The reporting symbols are given in the form of the MARC 21 codes found in *MARC Code List for Organizations*, maintained by the Library of Congress. Prior to 2000, these holding institutions were also listed in *New Serial Titles*. Since

⁶ Prior to 1990, code "msc" was used when no headings were appropriate. For further information, see field 042.

the publication *New Serial Titles* ceased with the 1999 subscription year, CONSER members are no longer required to add 850 codes.

For more information, see fields 850 and 012 \$i.

C2.3. Name Authority Procedures Relative to Participant Authentication

CONSER libraries submitting name authority records should code the bibliographic record "lcd" even though there will be a slight lag before their submissions appear in the Name Authority File. If the suggested form of name is not accepted, the CONSER Participant will be so informed and must make corrections to the respective bibliographic records. For further instructions, see C4.

If a CONSER member does not establish series and an authoritative form is not found in the NAF, the record is coded "lcd" and the participant sends a surrogate to LC. LC uses the surrogate as the basis for performing the authority work for series headings.

C2.4 Summary guidelines

C2.4.1. Full or core level cataloging is being performed

1) Assumptions

- a. Records will contain all necessary fields required for a full or core level record as stated in the *CEG*
- b. Records will contain all necessary name/series headings
- c. Name/series headings are or will be established in the Name Authority File (042 = lcd), or not established but in AACR2 form (042 = msc); or no headings required (042 = lcd)
- d. Subject headings will appear in the record when appropriate and have been verified as to validity and construction

2) When creating original records:

- a. Encoding level = # or 4
- b. 010 = LC control number

- c. 042 = "lcd" or "msc" (as appropriate)

3) When adapting existing unauthenticated records:

- a. Encoding level: change I, K, L, or M to # or 4
- b. 010 = LC control number. If an unverified 010 field is present in the record, move the number to subfield \$z.
- c. 042 = "lcd" or "msc" (as appropriate)

4) When further authenticating already authenticated records (permissible only for NSDP records or minimal level records)

- a. Encoding level:

- 1 - Upgrade to # or 4 if modifying cataloging based on piece in hand

- 7 - Upgrade to # or 4

- 8 - **See C6.1.** If update is permissible, upgrade to # or 4. If update is not permissible, do not change record in any way; notify NSDP.

- b. 010: A control number should already appear in the 010 field; do not change or add another number.
- c. 042: Code "lcd" or "msc" should be present in NSDP records; change "msc" to "lcd" in NSDP or minimal records
- d. 050: If present in the record, do not change or remove

5) If record already authenticated by LC is found:

These records are **not** further authenticated by CONSER Participants. However, changes can be made to the record to reflect changes in the publication itself (cf. C3). No changes are made to fields 010, 042, 050, or the encoding level. See these fields for additional instructions.

C2.4.2. Minimal level cataloging is being performed:

1) Assumptions

- a. Records will contain all necessary fields required for a minimal level record as stated in the CEG.
- b. Record may or may not contain name/series headings.
- c. Name/series headings used may be established in Name Authority File (042 = lcd) or not established but in AACR2 form (042 = msc); or no headings (042 = lcd).
- d. Subject headings may or may not appear in the record; for records created after 1994, subject headings have been verified as to validity and construction.

2) When creating original records:

- a. Encoding level = 7
- b. 010 = LC control number
- c. 042 = "lcd" or "msc" (as appropriate)

3) When adapting existing unauthenticated records:

- a. Encoding level: K, L, M - Change to 7; I - Change to 4 or #.
- b. 010 = LC control number. If an unverified 010 field is present in the record, move the number to subfield \$z.
- c. 042: Use "lcd" or "msc" (as appropriate)
- d. 050: If present in the record, do not change or remove

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- 4) When further authenticating an already authenticated record (permissible only for NSDP records or minimal level records):
 - a. Encoding level: change as follows:

1 - Upgrade to 4 or # if modifying cataloging, based on piece in hand
7 - Leave as is
8 - **See C6.1.** If update is permissible, upgrade to # or 4. If update is not permissible, do not change record in any way; notify NSDP.
 - b. 010: An LC control number should already be in the record; do not change or add another number
 - c. 042: A code of "lcd" or "msc" should be present in NSDP records; if minimal level work is being done, no change should be necessary
 - d. 050: Do not change or remove

Related fields, etc. A4, C1, Leader/17, 010, 042, 050

C3. MODIFICATIONS TO RECORDS WITH AUTHENTICATION CODE OF “lc”

CONSER members may modify records with authentication code of “lc” to maintain accuracy and to describe significant changes (e.g., ceased publication).

Upon completion of the initial review period, a Full or Associate participant may obtain from OCLC a CONSER national level ("CON") log-on authorization that permits making updates to all CONSER records.

In general, necessary changes to LC-authenticated (042=lc) records may be made without first notifying LC. Certain categories of change that alter the scope of the record, however, may require notification. For examples of such changes, see C8, C9, and C10.

The chart on the following pages specifies the additions, changes, and deletions to LC-authenticated (042=lc) records that may or may not be made by CONSER members and the situations in which LC must be notified.

**ADDITIONS, CHANGES, AND DELETIONS
TO LC-AUTHENTICATED RECORDS
(042= lc)**

Data element	Add/change/delete?	Notify LC?
Encoding level	May change 1 to blank if issue in hand May not change 5 to blank	No
010	Do not change or delete	N/A
012	Change \$b 0 or 7 to 3 Delete \$c x when making any change	No No
042	Do not add, change, or delete	N/A
050, 060, 082	May add using 2nd indicator 4	No
070, 074, 086	May add when found on the piece, or as assigned (NAL and GPO)	No
022	Add for unauthenticated or foreign records; do not change if "ndsp" or "isds/c" in 042	No
210, 222	Add for foreign records; do not change if "ndsp" or "isds/c" in record	No
1XX	May change to authoritative form May change choice of entry in pre-AA2 record if converting to AA2	No No
240, 245, 250	May correct obvious errors but not choice of title, etc. May change when converting pre-AA2 to AA2	Yes Yes
246, 300, 310, 321	May add or change as necessary	No
362	May add or change to reflect first/last issue or successive numbering scheme May add or change when converting to AA2	No No
4XX	OK to add or change 490 0 OK to add or change 490 1 if adding or changing 8XX OK to add or change 440 when authoritative form available Any series added or changed = collected in LC	No No No Yes

Data element	Add/change/delete?	Notify LC?
500	OK to delete "Description based on" note when backing up to first issue OK to delete or change source of title note when backing up to first issue May add other general notes	No No No
510	Do not change or delete; if record exceeds allowable limit, notify NSDP	N/A
515, 525, 550, 555, 580	May be added or changed as necessary	No
6XX	OK to add or change if from authorized list	No
700-730; 740	OK to add or change if authorized form available (700-730); use 740 for unauthorized forms	No
760-787	May add as necessary May change incorrect link May delete when consolidating records	No Yes (780/785) Yes
800-830	OK to add or change if authoritative form available OK to delete if 490 1 is changed to 440	No No
87X	Delete when headings are converted to AA2	No
890, 901, 911	Do not add, change, or delete	N/A
936	OK to add or change	No

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C4. AUTHORITY RECORDS

The Library of Congress realized some time ago that it was unable to catalog all items and to establish all headings needed by libraries in the United States. As a result, the Name Authority Cooperative (NACO) Program was begun in 1977 to foster development of the LC/NACO Authority File through cooperative contributions of name and series authority records. Cooperative Subject Cataloging Projects (CSCP) was begun in 1983 to foster development of *LCSH* through cooperative contributions of proposals for new subject headings and changes to existing subject headings. Both programs are currently carried out within the Cooperative Cataloging Team at the Library of Congress.

This chapter addresses procedures related to authority records to be followed by national,¹ full, and associate CONSER participants that have completed the initial training and review period for CONSER, during which period all bibliographic and authority records contributed by the new participant are monitored (see A4.6).

All new CONSER records carry AACR2 forms of name or series, whether or not that form of name has an equivalent authority record. The authentication code will indicate whether authority records are available for all headings in a record (see C1, C2, and 042).

Bibliographic records containing names or series for which the authority work is being provided by the CONSER participant are authenticated with the code "lcd".

C4.1. Name Authority Records

C4.1.1. Background and Scope

CONSER cooperation in the area of name authority records (NARs) began in the summer of 1981, with three CONSER participants submitting NARs as part of the NACO Project.

As more CONSER participants started to submit NARs, the Serial Record Division took over responsibility for reviewing and monitoring the records of most participants.

Since April 1988, the technical responsibility for the NARs contributed by participants has been assigned to the NACO Office.

¹ The Library and Archives Canada has different authority requirements (see C12).

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C4.1.2. Establishing an authoritative form of name

CONSER participants apply *AACR2* and *LC Rule Interpretations* in the formulation of name headings and cross references. The participants follow the procedures in the *Descriptive Cataloging Manual* (DCM Z1) to prepare the associated NARs.

As part of establishing a name, the LC/NACO Authority File and LC bibliographic files, as found on OCLC or the LC ILS, must be searched to determine whether the name has already been established.

Participants also identify LC monograph records or CONSER records that contain the name being established and, if necessary, change the name on the CONSER records. The monograph records are reported to NACO for modification by LC.

C4.1.3. Canadian Headings [See also C12.5]

When creating NARs for Canadian headings, the CONSER participant may check the Library and Archives Canada authority file in AMICUS (<http://www.collectionscanada.ca/amicus/>). If the heading is found, a citation to LAC authority file is given. If the heading is not found, or if AMICUS is not available for searching, the CONSER participant:

1. Creates an NAR for the heading.
2. Asks the Coop liaison at LC to request verification from LAC (cf. DCM Z1, Appendix for Canadian Headings).
3. After receiving the verification, adds a 670 to the NAR to show LAC was consulted.

If a heading is in the LC/NACO Authority File, the CONSER participant may add cross references to the NAR. CONSER participants may add Canadian headings to LAC-authenticated records if the heading has been established by LAC or if NACO is contacted.

C4.1.4. Difficult and Problem Name Headings

If a participant has difficulty in establishing or updating a name heading due to complexities having to do with the language or related established headings, the participant may create or update the record and ask the Serial Record Division to review it. When necessary the appropriate surrogates are sent along with the request.

Alternatively, the institution can input a minimal level bibliographic record authenticated as "msc", and not attempt to make a name authority record. The participant may not, however, code as "msc" any record with a heading that conflicts with an existing NAR. If a heading

appears in a 410 field on a NAR and the heading is also a valid form of the name, the heading is separately established, the cross reference removed, and the record coded as "lcd." NARs that contain such cross references may also contain a note in field 667 that indicates that the headings are legitimate AACR2 headings; however, the note does not always appear and its absence does not mean that the heading might not be legitimate. If the heading cannot be established by the cataloging institution, the NAR may be referred to LC along with all available documentation.

| C4.1.5. NARs Review and Verification

| Independent NACO status is required prior to joining CONSER. A designated trainer reviews all or a sampling of NARs submitted by the CONSER participant during their initial training period. Once in independent status, a participant may ask the Serial Record Division to review NARs when having difficulty in establishing or updating a name heading. (See C4.1.4.)

C4.2. Series Authorities

| CONSER participants create SARs online under the technical direction of NACO liaison. Those who do not create SARs online use one of the following procedures.

1. Send a surrogate of all representations of the series on the publication, annotating the surrogates with "Series authority needed." Send the surrogates to the appropriate cataloging section in the Serial Record Division (SRD).
- | 2. Alternatively, create a SAR and notify the appropriate serial cataloging section in SRD. After review of the SAR, the serials cataloger in SRD will notify the participant either that it is all right or that alterations are needed.

The participant may authenticate the bibliographic record as "lcd" at the time the surrogates are sent or the SAR is input.

C4.3. Subject Authorities

Optionally, CONSER participants submit new subject headings and revisions to subject headings for *LCSH*.

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C4.3.1. Background

CONSER libraries have had the opportunity to contribute to *LCSH* since the Library of Congress issued an invitation in the Summer 1988 *Cataloging Service Bulletin* for interested individuals to begin submitting proposals. CONSER libraries were further encouraged to contribute proposals at the 1993 Subject Seminar.

C4.3.2. Establishing Subject Headings

Libraries interested in contributing proposals for new subject headings and changes to existing subject headings for *LCSH* may submit a Subject Authority Proposal Form online at <http://www.loc.gov/catdir/pcc/prop/proposal.html> or complete the proposal form (<http://www.loc.gov/catdir/pcc/saco/sacopropform.html>) and mail to the Internet address: saco@loc.gov or print, complete, and fax to: (202) 707-2824. For more information, contact:

John N. Mitchell
SACO Coordinator
Voice: (202) 707-5772
Email: jmit@loc.gov
Fax: (202) 707-2824

C4.4. Communication

Participants may communicate with LC via electronic mail, telephone, or fax.

Cooperative Cataloging Team
Regional and Cooperative Cataloging Division
Library of Congress

Serial Cataloging Sections
Serial Record Division
Library of Congress

Team Leader: Voice: (202) 707-2822
Email: afra@loc.gov
Fax: (202) 707-2824

Sec. I, Head: Voice: (202) 707-0116
Email: lgei@loc.gov
Sec. II, Head: Voice: (202) 707-6326
Email: luba@loc.gov
Sec. III, Head: Voice: (202) 707-3331
Email: gbus@loc.gov
Fax: (202) 707-1778

Problems that are difficult to resolve via the phone are mailed or faxed with appropriate documentation to the participants. Responses can be through whatever means is preferred by the participant.

C4.5. Documentation

| NACO supplies CONSER/NACO participants with a single set of *DCMs* and *RI*s. For
| additional documentation, tools, rules, etc, consult the NACO Web site at
| <http://www.loc.gov/catdir/pcc/naco/naco.html>.

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C6. REPORTING TO NSDP

If CONSER members wish to use NSDP prepublication records they must follow the procedures in C6.1. below. If desired, they may also report U.S. major changes and U.S. imprints lacking NSDP authentication (C6.2.) as well as ISSN incorrectly printed on issues (C6.3.). Reports are sent to NSDP using the NSDP Request Form (p. 4).

C6.1. Prepublication Records

All CONSER catalogers except CONSER Enhance members follow this procedure. CONSER Enhance catalogers do not update NSDP prepublication records.

Prior to October 1996 only NSDP catalogers were allowed to update prepublication records created by NSDP. The following procedure allows CONSER and LC catalogers to update NSDP prepublication records when they receive issues before NSDP has updated the record. NSDP will continue its process of updating prepub records, as usual. The procedure given below will prevent problems from occurring within the NSDP workflow and within the ISSN Network when CONSER and LC catalogers update NSDP records first. Taking the necessary steps will prevent these records from becoming part of the ISSN database in Paris before NSDP verifies the ISSN elements and completes the ISSN registration process.

NSDP prepub records input after Oct. 15, 1996 no longer include the code “nsdp” in field 042 (however CONSER authentication codes “msc” or “lcd” will still be included, as appropriate, as they are needed to return the records to LC). Provisional key titles (field 222) and the fixed field ISSN center code “1” are also no longer input, thus eliminating the need for CONSER and LC catalogers to remove these fields from future prepub records.

NSDP does not have to be notified when a record is updated. The ISSN elements will be verified and updated in the course of NSDP's normal processing. However, there are situations in which NSDP would still like to update the record first in order to resolve ISSN assignment problems. These situations should be relatively infrequent and NSDP will do its best to resolve them as quickly as possible after notification. While CONSER and LC catalogers are not trained in ISSN assignment rules and procedures, ISSN problems should show up in the course of normal searching and evaluating of records. If something is a cataloging problem it might well be an ISSN problem. Problems and doubtful cases are reported to NSDP via email or fax, as noted below.

Procedure for Updating NSDP Prepublication Records (Elvl: 8)

I. Do NOT update the prepublication record in the following situations:

- ! Publication does not appear to be a serial.
- ! Duplicate ISSN have been assigned to the same publication.
- ! The serial should not have its own record or ISSN (certain indexes, certain supplements, parts, etc.)
- ! More than one record is needed to represent the serial (edition problems, parts problems, etc.)
- ! Any other case in which you feel (or suspect) a problem in ISSN assignment or record creation might have occurred.

Report to NSDP via email (issn@loc.gov or rrey@loc.gov) or fax (202-707-6333).

II. Record Update

- ! Remove 042 nsdp, 222 (key title), ISSN center code (ISSN 1) and 936 (PREPUB: Publication expected...), if these elements are in the record ¹
- ! Leave field 263 (coded expected date of publication).
- ! Change the encoding level from “8” to the appropriate level
- ! Update the record as appropriate. Keep in mind that the record is based on information supplied by the publisher *prior to publication* and not from an actual issue. It is very easy to overlook small changes in title and corporate body fields.

¹ After Oct. 15, 1996, NSDP no longer input code “nsdp” in field 042, field 222, and the ISSN center code (008/20) in prepublication records.

- ! Authenticate the record in the usual manner (i.e., when present, change code “msc” to “lcd” in field 042), remembering that “nsdp” should NOT be present as an authentication code.

C6.2. U.S. Imprints Lacking NSDP Authentication

CONSER catalogers may opt to follow this procedure.

Send a surrogate (preferably of the most recent issue) to NSDP for:

- 1) Major changes for U.S. imprints
- 2) Current U.S. imprints lacking NSDP authentication
- 3) Ceased U.S. imprints on which an ISSN has been printed, or for which an ISSN has been found in a printed source (e.g., Ulrich's, NST).

C6.3. Incorrect ISSN on issues

CONSER catalogers may opt to follow this procedure.

If the ISSN printed on current issues of a serial differs from that in an authenticated record, send a surrogate to NSDP. NSDP will then contact the U.S. publisher (or, in the case of foreign imprints, the appropriate ISSN center) with a request that the error be corrected. Additionally, NSDP will add the incorrect ISSN to subfield \$y of field 022 to provide access via the incorrect ISSN. Surrogates sent for this purpose should:

- 1) Include the page on which the incorrect ISSN appears
- 2) Include the publisher's name and address
- 3) Include the date or designation of the issue
- 4) Be of the most recent available issue (to avoid contacting a publisher about an error that has already been corrected).

C6.4. ISSN-related Elements for Foreign Imprints

CONSER catalogers may input ISSN for foreign imprints (current or ceased) into any record not authenticated by NSDP. Corrections to fields 022, 210 and 222 may be made to NSDP authenticated records for non-U.S. imprints, if verified in *ISSN Online*.

NSDP Request Form

Use this form as a cover sheet to identify updates of prepublication problems, major changes for U.S. imprints, requests for assignment of ISSN for current U.S. imprints, reports of ISSN being printed incorrectly, and modification requests for records authenticated by NSDP only.

In order to allow NSDP to expedite prepub updates and major changes, please batch each type of request separately and complete a separate form for each type of processing being requested. Multiple batches may be sent in the same envelope as long as they are accompanied by separate request forms.

FROM:

DATE:

Number of surrogates

Type

PREPUB problem(s)

U.S. major changes

U.S. imprints lacking ISSN

ISSN printed incorrectly

Modification request

Other

National Serials Data Program
Serial Record Division
Library of Congress
Washington, DC 20540-4160

Fax 202 707-6333

C7. DUPLICATE RECORDS

C7.1. Description

Duplicate records are two or more bibliographic records describing the same bibliographic item, ostensibly in the same manner. When duplicate records of a type not permitted are discovered, CONSER members should select one record to retain and report the duplicate record(s) to be deleted.

C7.2. Categories of Permissible Duplicates

Certain categories of duplicate records are permitted by CONSER and OCLC, while other categories are permitted only by OCLC. Categories of permissible duplicates are listed below:

C7.2.1. Latest entry records

Do not report a latest entry record that duplicates, in whole or in part, one or more successive entry records.

C7.2.2. LAC French cataloging

Do not report a record cataloged in French by LAC that duplicates an English language record for the same title.

C7.2.3. Serials cataloged in different MARC formats

With the completion of format integration, all non-print serials should be cataloged using the appropriate format (i.e., leader and 008, such as sound recording, computer file, etc.). OCLC will have converted most of the CONSER records to the appropriate format and merged data from non-CONSER records. However, some duplicates may remain and should be reported to OCLC. OCLC will change the leader (and 008) for the CONSER record and will delete the non-CONSER record. Data, such as field 007, that appears in the non-CONSER record and is to be transferred to the CONSER record should be indicated when reporting the duplicate to OCLC. See also instructions in Leader/06 and Fixed Fields--General Information.

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C7.2.4. Serials issued in cumulations or in parts or with supplements

LCRI 12.0, "Serials Issued in Cumulation and Serials Issued in Parts," provides guidelines for inputting separate records for cumulations of a serial and for separate parts of a serial issued in parts. RI 21.28B "Supplements to other serials" provides guidelines for inputting separate records for supplements or for noting them on the parent record. CONSER members should follow these guidelines for authenticating separate records for a serial with different frequencies, for authenticating multiple records for a serial issued in parts and for authenticating separate records for supplements to serials.

| If duplicate records of these types have been authenticated, consult with the authenticating participant(s) for resolution. Do not report such duplicates to OCLC. OCLC permits separate records for different frequencies, separate records for both the whole and for all parts, and a separate record for a supplement, even when mentioned in a note on the parent record.

For splitting into separate records entries that have been previously covered by one record, see C8. Record Consolidation/Separation.

C7.2.5. Monograph, serial, or integrating resources

Guidelines are provided in LCRI 1.0 for treatment of a publication as a serial, monograph, or integrating resource. CONSER members should follow these guidelines when authenticating serial records. There are certain categories of publications that OCLC allows to be cataloged as either a serial or a monograph. Refer to OCLC's *Bibliographic Formats and Standards* for guidelines.

If LC monographic cataloging duplicates authenticated serial cataloging, report the duplication to LC for resolution. If it is decided that duplication does exist, LC will handle the deletion of the duplicate record via the MARC Distribution Service (MDS). Deleted MDS monograph records remain in OCLC with encoding level "J" (OCLC defined) and may continue to be used to produce cards or update holdings. If a CONSER cataloger discovers one or more LC monographic records for a title she/he has determined to be a serial, a serial record is authenticated in OCLC and the monographic records are reported to LC.

If the duplication is between an unauthenticated serial record and a monograph and is not a duplication that OCLC guidelines allow (see above), report to OCLC as outlined in C7.4.2 below.

C7.2.6. LAC microform cataloging

Do not report a microreproduction record cataloged by LAC (description based on the microreproduction) which duplicates another microreproduction record cataloged according to LC microreproduction cataloging policy (description based on the original publication).

C7.2.7. Parallel language records

Previously in OCLC, records for the same title, but cataloged in different languages, such as English, Spanish, and French, were considered duplicate records (with the exception of LAC French cataloging discussed in C7.2.2.). In October 2003, OCLC policy was changed to allow for parallel records within WorldCat by language of cataloging. Now, when searching within WorldCat, if the matching record is cataloged in a language other than that used by the inputting library, the library may enter a parallel record in its language of descriptive cataloging*.

The language of descriptive cataloging (a three-letter language code in subfield \$b of field 040) is required when the language of descriptive cataloging is not English.

```
040 ##      $a MUQ $b fre $c MUQ
040 ##      $a MUL $b spa $c MUL
```

See *MARC Code List for Languages* for a list of these codes. If this subfield \$b is not present in a bibliographic record within WorldCat, the language of descriptive cataloging is assumed to be English.

Only one record per language of descriptive cataloging will be allowed as permissible duplicate for each title.

*NOTE: The language of cataloging in CONSER records is still English. The only allowable parallel language records in the CONSER file are the LAC French/English records.

See OCLC *Technical Bulletin 250* for more information on the parallel records (<http://www.oclc.org/support/documentation/worldcat/tb/250/>)

C7.3. Selecting the Record to Retain

Duplicate records not in the above categories should be identified and reported. Apply the following criteria to select the record to retain.

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C7.3.1. Select the record with the highest level of authentication:

- 1) lc \$a nsdp or nlc \$a isds/c
- 2) lc or nlc
- 3) lcd
- 4) nsdp or isds/c
- 5) msc or nst
- 6) lccopycat

C7.3.2. If no records are authenticated, select the record that:

- 1) Most closely adheres to AACR2 choice and form of entry, or
- 2) The record with the most information.

C7.3.3. If there is more than one record in the same category or subcategory, select the record input first.

C7.4. Reporting Duplicate Records

If the duplicate record (not to be retained) is an authenticated record, libraries should consult and come to an agreement about whether the record should be deleted. CONSER catalogers can optionally delete records from the CONSER database without having to notify the authenticating library if the records were input erroneously (see C7.5 below). After the record is deauthenticated, report it to OCLC for record deletion and merging of holdings.

C7.4.1. Reporting duplicates to LC

LC receives reports for duplicate records that are authenticated, including those for Canadian imprints, when LC has holdings. (LAC is not notified of duplicate records for Canadian serials). Reports may be sent via email (srdcat@loc.gov) or fax to:

Serials Cataloging Sections
Serial Record Division
Library of Congress
(202) 707-1778

(See also C7.5. below.)

C7.4.2. Reports to OCLC

If the duplicate record is unauthenticated, report it and the corresponding preferred record directly to the OCLC Online Data Quality Control Section, whose staff will evaluate the report, delete any duplicate records, and merge the holdings of the duplicate record to the preferred record. Do not report to OCLC duplicate records that are authenticated.

Duplicate records may be reported to OCLC through the WorldCat Duplicate Record Merge Request Webpage: <https://www3.oclc.org/app/bibdup/>. No accompanying documentation is necessary. Participants should submit duplicate reports as frequently as possible.

C7.5. Deleting Records in LC's System

CONSER members may delete authenticated records if they are able to determine that the record was input erroneously. This could happen when the title is determined to be a monograph or an integrating resource or is covered by another serial record. Report the record to LC for evaluation and deletion when LC has holdings. (Send questions about LC serials bibliographic issue to Gary Bush, Head LC Serials Cataloging Section 3 (gbus@loc.gov); send questions about the process of deauthenticating a record to John Levy, Automated Operations Coordinator (jlev@loc.gov)). Once it is clear that the record should be deleted, the duplicate record must be deleted from the CONSER database distributed by the Cataloging Distribution Service (CDS). Although non-LC CONSER records are no longer added to LC's local ILS, all CONSER records are distributed through CDS and duplicates must be deleted through the following steps:

1. Lock the record in OCLC.
2. Add field 012 \$z d.¹
3. Replace and relock the record.
4. Remove field 042.
5. Add field 936 "RECORD REPORTED FOR DELETION--USE # ..."
6. Replace record and delete holdings.
7. Report the record to OCLC for deletion.
8. Record canceled LCCN in subfield \$z of field 010 of record being retained

It may be determined that the record is a valid duplicate in OCLC and can remain in the system. Do not include field 936 "RECORD REPORTED FOR DELETION--USE # ..." nor report it for deletion, but complete the following steps:

¹If field 012 is already present, add only \$z d. If subfield \$b is also present in field 012, set the value to "3."

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1. Lock the record in OCLC.
2. Add field 012 \$z d.
3. Replace and relock the record.
4. Delete fields 012, 042, 850.
5. Replace record and delete holdings

(It is no longer necessary to move LCCN to 010 \$z.)

C8. RECORD CONSOLIDATION/SEPARATION

C8.1 Background

Differences between pre-AACR2 and AACR2 cataloging rules as well as Library of Congress Rule Interpretations for AACR2 have, in some instances, reduced or expanded the number of bibliographic records currently needed to describe a serial. The procedures in C8. describe record consolidation and separation. The 2002 revisions in AACR2 rules and LCRIs have in some cases reduced the number of AACR2 records needed; but existing authenticated records and series authority records generally should not be consolidated because of these changes (see CEG B4.3). Do, however, consolidate authenticated AACR2 records when separate records were created in error.

C8.1.1. General guidelines

Modify the selected record to conform to AACR2, remembering that this can be done only with a piece in hand. If already AACR2, modify to reflect the application of the appropriate rule or rule interpretation.

Record consolidation must not result in the loss of cataloging information. CONSER catalogers should evaluate data elements appearing in the superseded record but not appearing in the selected record and, if necessary, add or suggest that those data elements be added to the selected record. The amount of editing to be done on the retained record is determined by the available information in hand and/or issue consulted.

C8.1.2. Restrictions on processing

CONSER members may consolidate or separate any sets of records regardless of whether the records are authenticated or unauthenticated (unless one or more has been authenticated by NLC or ISDS/C). Members **do not delete** records that are not selected to be retained, however. If all of the records are unauthenticated, the CONSER cataloger notifies OCLC to delete the record(s). If one or more of the records to be deleted is authenticated, the cataloger notifies LC which handles the deletion of the record(s) from the LC and OCLC databases.

1) **NLC or ISSN Canada authenticated records**

CONSER members may not consolidate records authenticated by NLC or ISSN Canada. NLC will not consolidate records in order to apply current rules and rule interpretations which were not in effect at the time of the original cataloging. For more information, see C12.4.2.

2) **NSDP authenticated records for which there is more than one ISSN**

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Because of the importance of the ISSN, which is printed on serials and used for control in many files, LC generally will not consolidate records that have more than one NSDP validated ISSN. CONSER members must consult first with NSDP before consolidating records with valid ISSNs, to know if NSDP is willing to cancel one or more ISSN and to find out which ISSN to keep. To expedite processing, notify NSDP via fax (202-707-6333).

3) CONSER authenticated records

All work to amend the records may be done by the CONSER member but cancellation of records must be done by LC to clear the records from the LC data base, as well as the distributed CONSER file. See C8.2.4. Generally do not consolidate authenticated AACR2 records only because of changes in AACR2 cataloging rules or LC rule interpretations regarding instances that require a new record.

4) LC cataloged records

Records that have been given full, core, or minimal level cataloging by LC catalogers may also be consolidated by CONSER members; however, LC requires additional information so that the cataloging can be verified and internal files maintained. LC must cancel the superseded records. See C8.2.5.

5. **Unauthenticated OCLC records** CONSER libraries may for various reasons consolidate unauthenticated records. See CEG B3.2 for further information.

C8.2. Record Consolidation

C8.2.1. Definition

Record consolidation is the merging of information from multiple serial records into fewer records, and the deletion of records no longer needed to describe a serial. The records to be deleted are called superseded records. Record consolidation involves selecting a record to retain, modifying that record, and reporting superseded records for deletion.

C8.2.2. Selection

Record consolidation requires the selection for modification of one among several existing records and the consequent identification of the superseded records for deletion. A new record is not input to circumvent record sets in need of consolidation.

- 1) Select the record with the highest level of authentication.

- a. lc ≠a nsdp
 - b. lc
 - c. lcd
 - d. nsdp
 - e. msc or nst
- 2) In all other cases, and if ties result in applying item 1. (e.g. 2 records with lcd in field 042), select the record with the earliest date of coverage given in the fixed field.

C8.2.3. All candidate records unauthenticated

CONSER cataloger:

- 1) Make all necessary changes to the bibliographic fields of the selected record, transferring all pertinent data that might be found in the duplicate (non-selected) record(s). Do not add or delete local fields for which OCLC is responsible (C8.2.7).

If questions arise concerning the transfer of data elements, contact the participant that is responsible for the field. Contact NSDP for questions concerning the 510 field.

- 2) Authenticate the record to be retained and replace the master record.
- 3) Report superseded records to OCLC using the CON/SEP report form. Add in field 936 on the superseded records:

936 RECORD REPORTED FOR DELETION--USE OCLC # ...

C8.2.4. One or more candidate records to be deleted is authenticated (none cataloged by LC)

Attributes: 042 = lc, lcd, msc, nsdp; 010 = sc or sn prefix, if the records were created before 2000. After 2000, the only CONSER institutions that use an sn prefix are US Newspaper Program participants and LC newspaper catalogers.

CONSER cataloger:

- 1) Make all corrections online to the record selected to be retained, except for fields that are maintained by OCLC (C8.2.7) or by LC or NLC (C8.2.8).

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- 2) Add a note in field 936 in the superseded record(s):

936 RECORD REPORTED FOR DELETION--USE OCLC # ...

- 3) Update and replace the records.
- 4) Send by fax (202-707-1778) a copy of the CON/SEP report to LC giving the relevant record numbers for both the record to be retained and the records to be canceled. If NSDP has been queried prior to consolidation, indicate this on the CON/SEP report form under "Comments."

LC cataloger:

- 1) Transfer necessary data elements from the list below (C8.2.8)
- 2) Take the necessary steps to delete the superseded records from the LC and OCLC databases.

C8.2.5. One or more records cataloged and authenticated by LC (title is in LC's collection)

Attributes: 042 = lc, lcd, msc; 010 = unprefixd or non-CONSER prefixd, or sf prefixd; 050 = call no., WMLC shelf no., IN PROCESS, etc.; second indicator = value "0"

CONSER cataloger:

- 1) Select the record to be retained and make a printout of the record **before** any modifications are made.
- 2) Make all necessary changes to the retained record, including converting pre-AACR2 cataloging to AACR2 and transferring appropriate information from the records being reported for deletion. **Do not change field 010 or field 042.**
- 3) Add in field 936 on superseded record(s):

936 RECORD REPORTED FOR DELETION--USE OCLC # ...

- 4) Send to LC by fax (202-707-1778) :

- a. the CON/SEP report form (note consultation with NSDP if appropriate)
- b. a copy of the original retained record (i.e., before modification)
- c. a surrogate of the chief source for the issue upon which the description of the retained record is based.

LC cataloger:

- 1) Review the modified record and surrogate.
- 2) If consolidation is considered **appropriate**, transfer necessary data elements from the list in 8.2.6.3 below and take the necessary steps to delete the superseded records from the LC and OCLC data bases, as well as from LC internal files such as SERLOC, the serial record, and the shelf list.
- 3) If consolidation is considered **not appropriate**, return the request to the CONSER Participant with instruction that the records be returned to their original state.

C8.2.6. Fields that are transferred by CONSER catalogers

CONSER catalogers transfer all fields that would be appropriate to the retained record, with the exception of proprietary fields listed below.

Several CONSER members input data elements that are considered optional by the NLBR-S but that are unique to the records of these participants. These elements should be added, by the CONSER cataloger performing the consolidation editing, to the selected record if they appear in the superseded records but not in the selected record. These data elements include the following:

GPO 074 GPO Item No.
086 GPO Class No.

NAL 070 NAL Call No.
072 NAL Subject Category Code
6XX X3 NAL Subject Heading

NLM 060 NLM Call No.
069 NLM CATLINE No. and Serials Control No.
6XX X2 NLM Subject Heading

A&I 510 Citation note (The code "AIP" will often appear in the 040 field of records authenticated as part of the Abstracting & Indexing Coverage Project. These records are maintained by NSDP, ISDS/C, NLM, NAL,

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and Affiliate CONSER members.)

C8.2.7. Fields that are transferred by OCLC:

- 019 OCLC Control Number Cross Reference
- 035 Local System Number
- 090 Locally Assigned LC Number
- 092 Locally Assigned DDC Number
- 096 Locally Assigned NLM Call Number

C8.2.8. Fields that are transferred by LC or NLC

- Alphabet Original Alphabet of Title
- ISDS ISDS Center Code
- 010 LCCN
- 012 Terminal Display
- 016 NLC bibliographic record control number
- 022 ISSN
- 032 Postal Registration No.
- 042 Authentication Agency Code
- 050 X0 LC Call Number
- 051 LC Copy, Issue, Offprint Statement
- 055 Call/class numbers assigned by NLC
- 082 X0 DDC Number
- 086 1X Government document number
- 210 Abbreviated Title
- 222 Key Title
- 6XX-5 NLC English subject headings
- 6XX-6 NLC French subject headings
- 850 Holdings
- 890 LC Visible File Entry
- 901 Numbered Copy Information
- 911 LC X-copy Information

C8.3. Record Separation

C8.3.1. Definition

In a few instances, differences between AACR2 and earlier cataloging rules may require breaking up one record into more records. Most often, this would result in retaining and modifying the

initial successive record and creating an additional record, with some information from the initial record being transferred to the new record. This process is called record separation, or simply "breaking-up" a record.

C8.3.2. Selection

For record separation, there is usually only one record from which to select. Use this record to reflect the earliest chronological cataloging for the set of records, entering new records for the later portions of the publication.

If there is more than one record already online, apply the selection criteria given in C8.2.2., combined with the guidance in the paragraph above as appropriate.

C8.3.3. Record is unauthenticated or CONSER authenticated (not cataloged by LC)

Attributes: 042 = lc, lcd, msc, nsdp, nst; 010 = sc, sn

CONSER cataloger:

- 1) Edit, authenticate, and replace record.
- 2) Input, authenticate, and update additional records. Add CONSER-specific fields to new record as appropriate.
- 3) Complete a CON/SEP report form and send to OCLC for transfer of holdings and other fields as necessary.

C8.3.4. Record is cataloged and authenticated by LC

Attributes: 010 = unprefix or non-CONSER prefix, or sf-prefixed; 042 = lc, lcd, msc

CONSER cataloger:

- 1) Make a printout of the existing record.
- 2) Edit and update record. Input and authenticate additional record(s) as above.
- 3) Report records to LC via fax (202-707-1778), including:

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- a. CON/SEP report form
- b. Record before modification
- c. Surrogate of chief source on which description was based

LC cataloger:

- 1) Review modifications.
- 2) Take steps necessary to correct internal files (serial record, SERLOC, shelf list, etc.)
- 3) Forward CON/SEP report form to OCLC for transfer of fields and holdings.

CONSER

CON/SEP REPORT

1. Use this form to request processing of record consolidations or separations by CONSER Centers of Responsibility or OCLC. Use one form per type of request.
2. If no records were previously authenticated, send completed form to OCLC. If one or more records previously authenticated, send by fax to LC (202-707-1778), NLC, or NSDP (202-707-6333).
3. For further instructions, see CONSER Editing Guide, C8.

Reported by:
(OCLC symbol) _____

Prep. by: _____

Date: _____

CONSOLIDATION REQUEST

Retained Record

Superseded Records

Comments:

SEPARATION REQUEST

Original Record

Newly Input Records

Comments:

[blank]

C9. CONVERTING PRE-AACR2 RECORDS TO AACR2

If required by institutional policy, or if the cataloging complexities warrant it, pre-AACR2 records may be converted to AACR2, according to CONSER policy as stated in B4.3. In order to recatalog a record to AACR2 an issue must be in hand, the evidence from which is reflected in either a formatted 362 field or in a "Description based on" note. Note: A pre-AACR2 record for a monographic series is converted to AACR2 if an AACR2 series authority record for it exists in the name authority file and the form of the entry of the bibliographic record does not match the authority record. For more information on pre-AACR2 records, see Module 22 of the *CONSER Cataloging Manual*, "Interpreting Pre-AACR2 Serial Cataloging Records." See also *CCM* 21.4.2, "Converting pre-AACR2 Records to AACR2."

C9.1. Restrictions and procedures

C9.1.1. LC authenticated records.

Records that are authenticated with a code of "lc", "lcd", or "msc" that have been cataloged by the Library of Congress cataloging sections may be converted to AACR2, but only in the situations covered in B4.3. LC must be notified of the change in all cases. When making the conversion, the CONSER cataloger:

- 1) Leaves the original LC control number in subfield \neq a of the 010 field;
- 2) Does not change the authentication code "lc" in field 042;
- 3) Adds "AACR2= [OCLC symbol of institution]" in field 936 (e.g., AACR2= EYM).

For further guidelines concerning the conversion of a pre-AACR2 LC-authenticated record, see C3 and C8.

C9.1.2. Any other pre-AACR2 record.

CONSER catalogers may convert other authenticated or non-authenticated records to AACR2 as necessary. When converting and consolidating authenticated records, see C8 for instructions.

C9.2. Successive Entry Records**C9.2.1. Choice of entry unchanged**

- 1) Alter description based on earliest issue in hand, following AACR2 and LCRIs.
- 2) If a formatted 362 field (first indicator = 0) is present in a record, and the first issue is not in hand, incorporate the information into a note, and recode the first indicator to 1. Add a "Description based on" note in field 500.
- 3) Change other notes as appropriate (e.g., form of volume/date information, etc.).
- 4) Change form of entry in linking fields, when necessary, from key title to cataloging entry form.
- 5) Convert all main and added entry headings and series added entries to AACR2 form.
- 6) Determine necessity for uniform title heading (130) or uniform title (240) as prescribed by RI 25.5B.
- 7) Add code "a" to DESC in fixed field.
- 8) Add required ISBD punctuation (e.g., fields 245, 260, 300).

C9.2.2. Choice of entry changed

When the choice of entry would be different under AACR2, the cataloger must eventually go through all the steps above but must first determine whether the AACR2 record should cover a different (usually expanded) period of time than the pre-AACR2 record, and whether there are additional records which require consolidation (see C8).

If the span of years to be covered by the AACR2 record is different, the following fields should be carefully checked for any needed changes:

- 1) Fixed field dates (008/7-14); publication status (008/6); country of publication code (008/15-17)
- 2) 260 ≠ c
- 3) 300 ≠ a

- 4) 310/321 (when dates are present)
- 5) 362
- 6) 5XX (for dates)
- 7) 550 (incorporate earlier or later issuing bodies, as necessary)
- 8) 7XX (make additional added entries, as necessary)
- 9) 760-787 (add, change, or delete, as necessary)

C9.3. Latest entry records

Latest entry records are not to be converted to AACR2 nor split into successive entries.

EXCEPTION: If the latest entry has no 247 fields (i.e., there is no earlier title) and the latest entry has a 100, 110, or 111 and under AACR2 the entry would be under title, the record may be converted to AACR2. Change the fixed field S/L ENT code (008/34) from "1" to "0".

Related fields, etc. C8, C10, C12, 010, 936, *CCM* Modules 21 and 22

[blank]

C10. LATEST AND INTEGRATING ENTRY RECORDS

This section provides basic guidelines for identifying and dealing with pre-AACR latest entry records. It also describes the nature and resources covered by integrating entry that derived from the 2002 revision of AACR2 and accompanying LCRIs. Some of the instructions given below are also repeated in individual fields in Part II of the manual. For more information on latest entry records, see Module 22 of the *CONSER Cataloging Manual*, "Interpreting Pre-AACR2 Serial Cataloging Records."

C10.1. Pre-AACR Latest Entry Cataloging

With a few exceptions, latest entry cataloging predates both editions of AACR cataloging rules. A latest entry record describes the bibliographic history of a serial in a single record. If the title has changed, the entry is under the most recent title, with earlier titles included in 247 fields in the MARC record. (On printed cards, these titles appear as notes preceded by "Title varies:"). Likewise, if the serial is entered under a corporate body and the body has changed, the main entry is for the most recent body (or name of the body) with earlier bodies, or names, mentioned in the 550 field. Latest entry records created under pre-AACR cataloging rules are coded "1" in the Entry Convention (S/L 008/34) element.

Although successive entry records are preferred, CONSER policy allows participants to input and authenticate latest entry records when performing retrospective conversion [from retrospective cataloging], provided that successive entry records for all titles/bodies are not present on OCLC, and that all name/series headings are in AACR2 form. Such Participants may also authenticate a latest entry record found on OCLC, given the same provisions as above.

Both pre-AACR latest entry and successive entry records may exist on OCLC for the same title. These are considered "allowable duplicates" and need not be reported to OCLC or changed in any way (C7.2.1). However, only one latest entry record is allowed for a given serial. If a serial is already represented on the OCLC database by a latest entry record covering a different span of time, the existing latest entry record may be amended to reflect the span that is most appropriate in the context of the CONSER database.

C10.2. Identification of latest entry records

It is easy to identify a pre-AACR latest entry record when it is correctly coded as such. However, due to changes in interpretations and practices, properly identifying records as latest entry may require careful scrutiny of the entire record. The following elements identify a record as latest entry:

Entry Convention S/L (008/34). Records with code "1" in this fixed field element are true latest entry records. The record has at least one 247 field **or** a 11X/550 combination.

247. Field 247 contains earlier titles in latest entry records. This field has also been used in

certain cases in successive entry records.¹ Prior to AACR2, an exception was made for the use of field 247 in successive entry records. When a title was grammatically linked to the issuing body on some pieces, and not on others, this was considered an allowable variation which could be expressed in the 247 field.

245 00 *Bulletin - Council on Library Resources.*

247 01 *Bulletin of the Council on Library Resources*
500 ## *Title varies slightly.*

If converting the record to AACR2, the variant title, according to RI 21.2A, is still treated as a title variation, not a title change. However, the variant field should be tagged 246 rather than 247.

245 00 *Bulletin / \$c Council on Library Resources.*
246 1# *\$i Some issues have title: \$a Bulletin of the Council on Library Resources*

| NOTE: In AACR2 cataloging, field 247 is used for recording title changes of integrating
| resources and electronic serials that do not retain their earlier titles. For all serials, if a minor title
| change occurs, variant forms are entered in field 246.

11X/550. A serial is cataloged according to latest entry if it is entered under a corporate body or conference name and the body or name of the body has changed and the earlier name(s) is given in a 550 field.

If records coded as "S/L: 0" contain 247 fields for earlier titles or 11X/550 combinations, as described above, CONSER catalogers should recode the fixed field element to "1".

C10.3. Linking to latest entry records

| When linking to a title that is represented by both a successive entry record and a pre-AACR
| latest entry record, link only to the successive entry record. Do not link to both records (i.e., do
| not add \$w for both records).

If the related title is represented only by a latest entry record, apply the following:

- 1) Link to the latest entry record if the related title in hand is not given in a 247 field on that record).

Example:

245 00 Title B. {Latest entry record}
247 00 Title A.
785 00 Title C.

¹ An additional exception is reflected in some authenticated pre-AACR2 records: according to AACR1 rule 6D1, "If the change in title is ... of very short duration ... it is simply noted on the existing entry." LC discontinued this practice in winter 1977; NLC did so with the adoption of AACR2 in 1981.

245 00 Title C. {Successive entry record for title in hand}
780 00 Title B.

- 2) Do not link to the latest entry record if the title is given in a 247 field on that record. Instead, construct a link based on AACR2 choice and form of entry. Do not add subfield \$w to the link.

C10.4. Conversion to AACR2

Pre-AACR latest entry records are not to be converted to AACR2 nor split into successive entries (C9.3).

EXCEPTION: If the latest entry has no 247 (i.e., there is no earlier title) and the latest entry has a 100, 110, or 111 and under AACR2 the latest entry would be under title or uniform title (not qualified by the body), the record may be converted to AACR2 by following instructions in C9.1. In addition to the instructions given in C9.1., it will be necessary to change the fixed field S/L Ent code from "1" to "0".

C10.5 Identification of records created under integrating entry

According to the 2002 rule revisions of AACR2 and related LCRIs, integrating resources and electronic serials that do not retain their earlier titles are cataloged according to guidelines for "integrating entry." Under integrating entry, the title appearing on the current iteration is recorded as the title proper, earlier titles proper are given as former titles in field 247 on the same record. Integrating entry conventions are similar to those of latest entry but they are applied to different types of resources.

Integrating resources

Several fixed and variable fields can be used to quickly identify records for integrating resources. For complete information on the coding of fixed fields for integrating resources, including the interim practice for coding the bibliographic level until code i is implemented by OCLC, see CEG Fixed fields, general information. In the examples, below, the interim practice of using bibliographic level code m has been shown. The following elements identify a record for an integrating resource:

Type of record Type (Leader/06) Code varies depending on the form of material described in the record. Commonly used codes for integrating resources are "a" language material; "m" computer file; and "e" cartographic material.

Bibliographic level BLvl (Leader/07). Current practice: code m. Future practice: code i will be used when implemented by OCLC.

Entry Convention S/L (008/34). Code: 2

Type of Continuing Resource SrTp (006/04 008/21). Codes: l, w, or d

247/547. 247 field(s) and if needed, a 547 field are used if the title proper has changed.

Example record for an updating database available on the Web:

Type: a
BLvl: m
Desc: a
DtSt: m

006 for Computer File/electronic resource
Audn: File: d Gpub:

006 for Continuing Resource
Freq: k Regl: r ISSN: **SrTp: d** Orig: s
Form: s EntW: Cont: GPub: Conf: 0 Alph: a **S/L: 2**

245 00 SIC filings & forms (EDGAR) \$h [electronic resource].

247 10 EDGAR database \$f <May 4, 2001>

247 10 EDGAR database of corporate information \$f <Nov. 13, 2000>

Electronic serials that do not retain earlier titles

Electronic serials that do not retain earlier titles are cataloged according to the provisions of LCRI 12.0B1. Further information on such e-serials can be found in CCM 31.18. Identifying features of a record for an e-serial that has not retained earlier titles are:

Type of record Type (Leader/06) For electronic serials, most commonly code a, though code m may also be appropriate

Bibliographic level BLvl (Leader/07) Code: s

Entry Convention S/L (008/34) Code: 2

Type of Continuing Resource SrTp (006/04 008/21) Code: p (this may be the most common code) #, m, or n

247/547. 247 recording earlier titles proper and a 547 field if needed to explain the circumstances of the title change.

The following is an example of a record for an electronic serial, as it was first created and how it was later updated when the publisher reformatted all existing issues with a new title.

Record as it was first created, before any title changes took place:

Type: a
BLvl: s
Desc: a
SrTp: p
S/L: 0

006 for Computer File/electronic resource

Audn: File: d Gpub:

245 00 Asian age \$h [electronic resource].
260 ## New Delhi, India : \$b Asian Age
500 ## Description based on: 29 Jan. 2002; title from caption (viewed Feb. 15, 2001).
856 40 \$u <http://www.asianage.com/>

When the publisher reformatted all existing issues with a new title, the record was re-coded to show the new entry convention and other changes reflected in the 247, 260 (if applicable as in the example below where the publishing information has changed) and 547 fields.

Record as it was updated after the earlier title was removed from all issues:

Type: a
BLvl: s
Desc: a
SrTp: p
S/L: 2

245 00 Asian age online \$h [electronic resource].
247 10 Asian age \$f <29 Jan. 2002->
260 ## Uttar Pradesh, India : \$b HCL InfiNet
500 ## Description based on 6 Mar. 2002; title from caption (viewed Mar. 26, 2002).
500 ## Issues for <29 Jan. 2002-> published: New Delhi : Asian Age.
547 ## All issues originally published with the title: Asian age have been reformatted with the new title: Asian age online.
856 40 \$u <http://www.asianageonline.com/>

C10.6 Linking to records created under integrating entry records

Links can be made between serial and monograph records and integrating records per PCC policy given in B7 and specific instructions in Linking fields, general information.

Related fields, etc. B7, C9, CEG Fixed fields, general information, Leader/07, 008/21, 008/34, 245, 547, Linking fields, general information., App. M, CCM Module 22, CCM Module 31

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C11. SURROGATES

C11.1. Definition and Purpose

A surrogate is a substitute for the issue on which a cataloged entry is based. The purpose of a surrogate is to provide documentation for use in authenticating and modifying CONSER member records and should, therefore, include pages that support the bibliographic description of the item and that show the presentation of names used as headings in the cataloged entry. Surrogates are, generally, photocopies of a serial issue's title page, cover, masthead, etc., but actual pages or issues of serials may be submitted in lieu of a surrogate.

C11.2. When To Send a Surrogate

Send a surrogate to LC:

- 1) When requesting assistance with the authentication of a title;
- 2) When requesting changes to LC-authenticated records that are not permitted to CONSER members;
- 3) When requesting reconciliation of conflicting, erroneous, or overlapping bibliographic records;
- 4) When requesting a series authority record be established for a new series heading;
- 5) When submitting a NACO name authority record for a heading in Chinese, Japanese, or Korean;
- 6) When requesting an ISSN assignment from NSDP or ISSN Canada (Cf. C6.) or when reporting to NSDP an incorrect ISSN on the issue.

C11.3. What To Send

A surrogate must always include the chief source of information on which the description of the cataloged entry is based (i.e., the title page or title page substitute). In addition, a surrogate should include any other pages needed to document areas 1-4 and 6 of the description (i.e., Title and statement of responsibility, Edition, Numeric and/or chronologic designation, Publication/distribution, and Series), and name headings not found in the Name Authority File.

For microforms, a photocopy printed from a microreader-printer is preferred, but a surrogate made from a printed issue may be substituted if there is no difference between the two. In addition, include a photocopy of the fiche or container if they include eye-readable supplemental information (e.g., a different title on header, additional numbering, or manufacturer of the microreproduction).

Photocopies of letters from publishers, subscription agents, etc. may be used as supporting evidence of ceased publications, title changes, etc.

C11.4. How to send surrogates

In the upper right corner of each surrogate write your OCLC institution symbol and the OCLC control number of the record represented by the surrogate.

C11.4.1. Send requests for authentication, modification, or assistance for U.S. imprints to:

Serials Cataloging Sections
Serial Record Division
Library of Congress
Washington, DC 20540-4160

C11.4.2. Send requests for ISSN and key title assignments (for U.S. imprints only) to:

National Serials Data Program
Serial Record Division
Library of Congress
Washington, DC 20540-4160

NOTE: See C6 for details.

C12. CANADIAN/LAC RECORDS

This chapter explains major differences in practice between the Library and Archives Canada and other CONSER participants and outlines the modifications CONSER catalogers may or may not make to LAC authenticated records.

"LAC-authenticated records" are records for Canadian imprints that have been authenticated by the Library and Archives Canada or ISSN Canada. "Canadian imprint records" are records for Canadian imprint publications that have not been authenticated by LAC. LAC-authenticated records are identified by the presence of nlc or isds/c in field 042 and may be modified by CONSER catalogers, subject to the restrictions cited in the Modification Chart below, and without notification to LAC. Canadian imprint records may be modified and authenticated by CONSER catalogers without any notification to LAC. LAC will further authenticate the record when the publication is processed.

C12.1. Background

The Library and Archives Canada, as a Center of Responsibility, authenticates its own and other CONSER participants' records for Canadian imprints and serials of Canadian interest. ISSN-related elements (e.g., ISSN, key title) are supplied by ISSN Canada for Canadian imprints and any foreign imprints for which ISSN Canada has taken responsibility after agreement with another national center (e.g., Acta Press). Most ISSN Canada records are also LAC-authenticated.

LAC uses *AACR2* and has its own set of rule interpretations, which to a great extent parallel LC rule interpretations. LAC follows the *CEG* in terms of system requirements when inputting and revising Canadian records online in CONSER.

LAC catalogs on AMICUS (LAC automated system) and contributes records to the CONSER database by sending MARC 21 tapes to OCLC (see A3.3.2.). For this reason, CONSER Participants are restricted from making certain changes to LAC authenticated records, as noted below (C12.2.3.).

LAC-authenticated records are identified by the presence of code "nlc" in field 042. Those which have also been authenticated by ISSN Canada will also have code "isds/c" in the 042 field. Records with just the latter code are rare but are to be considered LAC-authenticated for CONSER purposes.

C12.2. Summary of What CONSER Participants May or May Not Do

C12.2.1. CONSER cataloguers may:

- | 1). Authenticate Canadian imprint records not authenticated by LAC.
- | 2). Convert pre-AACR2 Canadian imprint records to AACR2 as long as this does not result in the consolidation and/or deletion of 1 or more LAC authenticated records. [C12.4.3.]
- | 3). Modify LAC authenticated records subject to the restrictions cited in the Modification Chart below. [C12.2.3.]
- | 4). Create an English record when the only record online is a LAC French record. [C12.3.1.]
- | 5). Create a microform record when the only record online is a LAC microform record. [C12.3.2.]
- | 6). Change the heading for a name or series in pre-AACR2 LAC authenticated records that conflict with the established form in the Name Authority File.
- | 7). Add or delete subject headings to/from LAC authenticated records.

C12.2.2. CONSER cataloguers may not:

- | 1). Further authenticate LAC authenticated records (except the Library of Congress).
- | 2). Consolidate LAC authenticated records. [C12.4.3, C8]
- | 3). Change a French record to English. [C12.3.1.]
- | 4). Use LAC microform reproduction records. [C12.3.2.]
- | 5). Establish headings for Canadian bodies without first going through NACO [C12.5, see also C4.1.3.]

| CONSER participants MAY add to, change, or delete fields and/or data elements according to the following chart without notifying LAC.

C12.2.3. Modification Chart

ADDITIONS, CHANGES, AND DELETIONS TO LAC-AUTHENTICATED RECORDS

Data element	Add/Change/Delete?
Leader c.p.17 (encoding level)	May change
008	May change
010	Do not add (except LC), change or delete
016	Do not add, change or delete
022	Do not add, change or delete
041	May add, change or delete
042	Do not add ** (except LC) ** , change or delete
043	May add, change or delete
055	May add, change or delete
082	May add, change or delete
1XX	May add, change or delete
210, 222	Do not add, change or delete
240	May add, change or delete
245	May change

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246	May add, change or delete
250	May add, change or delete
260	May change
300	May change
310, 321, 362	May add, change or delete
4XX	May add change or delete (may require 8XX change or addition)
5XX (except 510)	May add, change or delete
510	May add
6XX	May add, change or delete
700-740	May add, change or delete
760-787	May add, change or delete
800-830	May add, change or delete (may require 4XX change or addition)
856	May add, change, or delete
886	Delete fields corresponding to 110 or 1st 710 if additions, changes or deletions are made to headings. All 886 fields may be deleted if a “too many variable fields” error occurs.

| C12.3. Differences Between LAC Records and Other CONSER Records

| LAC records may contain certain fields and data elements that are assigned only by LAC. In addition, cataloging practices vary because of rule interpretations and system requirements. Major differences occur in two categories of serials--bilingual serials and microforms--described below.

12.3.1. Bilingual serial records

| English and French are both recognized legally as official languages in Canada. If a serial is bilingual (i.e., contains substantive portions of text in English and French), LAC creates two separate records, one in English and the other in French. Unilingual English and French serials are described only in English or French, respectively.

Aside from the presence of notes in French, French records can be identified by the presence of "fre" in subfield \$b of field 040. If the French record represents a bilingual serial, the LC control number (010 subfield \$a or \$z) will have a "cf" prefix. If, however, the French record represents a serial that is only in French, the control number will have a "cn" prefix. If the serial begins as a French only publication and later becomes bilingual, an English record is created but the 010 and 016 do not change in the French record (i.e., they are not changed to "cf").

CONSER practice:

| French language records (040 \$b fre) are **not** used by CONSER participants because the notes appear in French. If a French language record is the only record found for a serial that is all in French, the CONSER participant inputs a second record using English notes, subject headings, etc. These are considered permissible parallel duplicates (see C7).

12.3.2. Microreproductions

| LAC catalogs microreproductions according to the provisions of AACR2 chapter 11 and LAC's rule interpretations (rather than according to LCRI 11.0A). LAC reproduction microform records can be recognized by the presence of field 534 which contains details of the original (other CONSER records include field 533 which contains details of the reproduction).

CONSER practice:

LAC microform records are considered permissible duplicates. If the LAC record is the only record on OCLC, the CONSER participant inputs a record created according to the provisions of LCRI Chapter 11 (i.e., description based on original with details of the microform given in field 533).

C12.4. CONSER Cataloger Actions Relating to LAC Authenticated Records

12.4.1. AACR2 records. LC and CONSER catalogers may add, change, or delete data to LAC authenticated AACR2 records, according to the modification chart above (C12.2.3.).

12.4.2. Pre-AACR2 records. LC and CONSER catalogers use pre-AACR2 LAC-authenticated records or convert such records to AACR2 when considered necessary, provided that the conversion does not result in the consolidation of one or more LAC-authenticated records (see below). LAC will not convert records to AACR2 nor consolidate them to conform to current standards. Name or series headings that conflict with the established form in the Name Authority File may be changed to the established AACR2 form by CONSER catalogers.

12.4.3. Consolidation of records (pre-AACR2 and/or AACR2). LAC will not retrospectively recatalog in order to consolidate AACR2 or pre-AACR2 records by applying current rules and rule interpretations which were not in effect at the time the records were created. LAC will also not change the main entries of records from name to title, or change the qualifying terms in a uniform title from name to place, in order to consolidate a series of linked records.

When a serial whose title has not changed has been cataloged under a succession of corporate bodies according to pre-AACR2 rules, and an issue is in hand with a different body for which there is no record, CONSER practice would normally be to consolidate the records and convert to AACR2 with entry under title (when appropriate). Rather than consolidating the records in such situations, LAC creates a new AACR2 record entered under a uniform title qualified by the corporate body. CONSER catalogers may also follow this practice.

C12.5. Name Headings

12.5.1. Background (see also C4.1.3.)

LAC is the authoritative agency for the establishment of Canadian corporate bodies. These include both government bodies and non-government bodies located in Canada. Non-Canadian bodies that are found on Canadian imprints are not considered to be Canadian headings.

LAC does not input name authorities to the LC Name Authority File (NAF). Therefore, **headings found in LAC records may not be found in the NAF.** Once LC has used the heading, however, it will appear in the NAF. LAC's authority records are available on the microfiche, *Canadiana Authorities* and on AMICUS (LAC automated system).

LAC establishes all Canadian corporate bodies (except Quebec government bodies) in English or French, or both when both forms exist or when a qualifier is different in English and French.

University of Toronto (English form only)

Library and Archives Canada = Bibliothèque et Archives Canada (both forms exist)

D.O.A. (Musical group) = D.O.A. (Groupe musical) (Qualifier necessitates both headings)

12.5.2. Quebec headings

LAC establishes Quebec corporate headings, except those for provincial government bodies, in English or French, or both when both forms exist or when a qualifier is different in English and French. Quebec government headings are established only in French. (Some of them have been established in both English and French in the past.)

Examples:

1. Source: A unilingual English serial with a corporate body existing in English form only.

Transcription:

245 04 *The news spreader.*

710 2 *Quebec Young Farmers.*

2. Source: A unilingual French serial with a corporate body existing in French form only.

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Transcription:

245 03 *Le producteur de lait québécois.*
710 2 *Office des producteurs de lait du Québec.*

3. Source: A bilingual serial with a corporate body existing in both English and French:

Transcription of an English version record (a record cataloged in English):

130 0 *Guide Montréal (Hotel Association of Greater Montréal)*
710 2 *Hotel Association of Greater Montréal.*

Transcription of a French version record (a record cataloged in French):

130 0 *Guide Montréal (Association des hôtels du Grand Montréal)*
710 2 *Association des hôtels du Grand Montréal.*

4. Source: A unilingual English serial with a corporate body existing in both English and French forms because the qualifier differs in English and French (i.e., (Firm) and (Firme)).

Transcription of a record cataloged in English:

130 0 *Investment news (Montréal, Quebec)*
245 00 *Investment news.*
710 2 *Lévesque, Beaubien, Geoffrion (Firm)*

Note: The French form of the name of the body which is Lévesque, Beaubien, Geoffrion (Firme) will be used on a record cataloged in French if such a record is ever created. The uniform title would be qualified with (Montréal, Québec). In this case, LAC does not need a French version record.

5. Source: A unilingual French serial with a corporate body qualified by a place name that has both an English and a French form because the qualifier differs in both English and French (e.g., (Quebec) and (Québec)) or (B.C.) and (C.-B.).

Transcription of a record cataloged in French:

110 2 *Montréal-Nord (Québec)*
245 00 *Bulletin spécial sur le budget / \$c Ville de Montréal-Nord.*

Transcription of a record cataloged in English (if ever created):

110 2 *Montréal-Nord (Quebec)*
245 00 *Bulletin spécial sur le budget / \$c Ville de Montréal-Nord.*

12.5.3. LAC local fields

LAC uses field 886 to provide the equivalent English or French official forms of headings, series, and uniform titles; and also for cross references and history notes.

When LAC-authenticated records are deleted the following local fields are retained in the “keep” record if they are assigned by LAC or ISSN Canada.

008	ISSN Center Code; Original Alphabet or Script of Title
016	Library and Archives Canada Bibliographic Record Control Number
022	ISSN
055	Call/Classification Numbers Assigned in Canada
082	Dewey Decimal Classification Number
086	Government Document Classification Number
210	Abbreviated Key Title
222	Key Title
6XX	Second indicator values “5” and “6”
886	Foreign MARC Information Field

12.5.4. Canadiana Authorities

When establishing Canadian corporate bodies, the CONSER Participant may check *Canadiana Authorities*. For further instructions, see C4.

Canadiana Authorities is available on CD-ROM, as an online service and via FTP. The printed edition of *Canadiana* was discontinued after the December 1991 issue and the microfiche edition after the December 2000 issue. Inquiries should be addressed to:

Canadiana
Library and Archives Canada Services
395 Wellington Street
Ottawa, Ontario K1A 0N4
Canada
Telephone: (819) 994-6913
Fax: (819) 953-0291
Internet: standards@lac-bac.gc.ca
URL: <http://www.collectionscanada.ca/canadiana/index-e.html>

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C13. CONSER MANAGEMENT STATISTICS (including OCLC Billing and Credits)

CONSER management statistics are used for distinct purposes. They are used by OCLC for CONSER-related billing and credits. They are also used by the PCC Policy Committee as part of determining whether contributions by participants meet the requirements of the institution's membership category as set forth in A4. CONSER Membership. In addition, the statistics reported by each institution and additional ones supplied by LC are used for general program monitoring and for answering questions about the CONSER Program.

C13.1 OCLC Billing and Credits

All OCLC charges apply to CONSER activities, with the exception of the credits listed below. Specific costs are available from regional networks. Credits apply to CONSER activity in three areas:

C13.1.1. Telecommunications

| Libraries can access OCLC either through the Connexion browser or the Connexion client.
| Credits vary according to access method.

C13.1.2. Cataloging credits

CONSER members receive three types of credits for their cataloging activity. The credit is the same for each type of activity.

- 1) Online original cataloging credit: effective July 1, 1991, CONSER members receive a higher credit for CONSER online original cataloging than is given for non-CONSER original cataloging.
- 2) Authentication of records: CONSER members receive a credit for authenticating serial records already in the OCLC database.
- 3) Maintaining authenticated records: CONSER members receive a credit for maintaining authenticated records.

The first two types of credits are automatically credited by the PRISM Service. Category three

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credits are manually issued using statistics submitted monthly by CONSER members.

C13.2. CONSER Membership Requirements

As noted in the chapter on Membership, in addition to other requirements pertaining to active membership, there are volume of activity requirements. The correlations between the requirements stated in A4 (quoted below) and the statistics reported on the World Wide Web are indicated below.

C13.2.1. Full Member Volume of Activity Requirements

“Minimum of 400 authentication and maintenance transactions per year,¹ of which 150 are for newly authenticated bibliographic records (full or core).” (A4.2.1.3)

- The annual total of record authentications for full/partial/core records must be at least 150.
- The annual total of authentications and maintenance activities (all categories) must be at least 400.

C13.2.2. Associate Member Volume of Activity Requirements

“Minimum of 100 transactions per year that may include first time authentication, subsequent authentication, or maintenance transactions.” (A4.2.2.3)

- The annual total of record authentications for full/partial/core records must be at least 75.
- The annual total of authentications and maintenance activities (all categories) must be at least 100.

C13.2.3. Affiliate Member Volume of Activity Requirements

“75 transactions per year.” (A4.2.4.3)

- The annual total of maintenance activities must be at least 75.

C13.2.4. CONSER Enhance Member Volume of Activity Requirements

¹ The CONSER fiscal year is October 1 through September 30.

“50 transactions per year.” (A4.2.3.3)

- The annual total of maintenance activities must be at least 50.

C13.3. General Monitoring

Production statistics are included in the CONSER annual report and available on the World Wide Web (<http://www.loc.gov/catdir/pcc/stats/pccstats.html>).

C13.4 Instructions for Completing the PCC Statistics Form on the World Wide Web

The “PCC Statistics for CONSER” form on the World Wide Web is completed by all CONSER participants, including new institutions that are in a training status. The form is completed monthly on the Web and OCLC is automatically informed of relevant statistics for CONSER credits.² No paper forms are used for relaying CONSER statistics since CONSER merged with the PCC.

CONSER Operations Committee members or an institutional designate are responsible for reporting CONSER production statistics online to the Library of Congress. Each new member must first contact the PCC statistics webmaster and have an institutional form created for reporting statistics. A spreadsheet program generates the “PCC Statistics” table displayed on the Website (see C13.3).

Original records. Give the total number of full/partial/core or minimal level records newly input to the OCLC Online System. Report authenticated records only; unauthenticated records are not CONSER records. This reporting category includes NSDP prepub records.

Authentication of existing records. Report first time authentication of a full/partial/core or minimal level record already in the OCLC Online System. Minimal level records in this category are those with encoding level “O”, “K”, or “L” that are changed by the CONSER participant to level “7”. The encoding level of the record *after authentication* determines the subcategory: “full/core” or “minimal.”

Subsequent authentications. Report only the number of full/partial/core or minimal level records

²If a monthly report is not submitted, zeros are recorded for all categories. Any transactions that are not reported for the month should be added to the following month’s statistics.

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to which an additional 042 code is added or for which the 042 code is upgraded. Include here records with code “nsdp” to which code “lcd” or “msc” is added, and records that are raised from “msc” to “lcd” because headings are added or name authority work is performed. This reporting category includes NSDP's updating and CONSER authentication of prepub records.

Maintenance of authenticated records. Report changes to authenticated records made in conjunction with CONSER cataloging for the title in hand or to records for related titles. See also Section B4, Record Maintenance. All statistics for Affiliate and Enhance members should be reported here. Members who submit statistics both for CONSER and for the CONSER Publication Patterns Experiment should report maintenance that adds, deletes, or changes publication pattern and holdings data in 891 fields as part of Publication Patterns Experiment statistics, not in the regular CONSER statistics alone and not in both.

C14. REMOVAL OF 510 FIELDS FROM CONSER RECORDS

During the 1980's the CONSER Abstracting and Indexing Coverage Project (CONSER A&I) added a substantial number of 510 Citation/References notes to CONSER records to provide information on the services that abstract or index a particular serial. At that time it was recognized that the addition of the 510 fields would cause the records to exceed or come close to exceeding OCLC's maximum allowable length. When this occurred, NSDP or others associated with the CONSER A&I Project selectively removed 510 fields from the records.

The inability to add data to the records became increasingly more problematic as electronic versions have become available. Catalogers wishing to use the CONSER single record convention found that they could not add the necessary notes and 856 fields without first having one or more 510 fields (or other data) removed from the records.

During the mid 1990's, the CONSER A&I/ISSN Issues Task Force was charged with finding solutions to the problem. Following a survey of the library community that confirmed the value of 510 information in CONSER records, the task force sought alternatives to their removal. Because it was no longer practical for NSDP to handle the removal of these fields, CONSER members were authorized to remove them according to the procedures below.

In November 2002, the Policy Committee of the Program for Cooperative Cataloging voted to remove most of the abstracting and indexing coverage fields (field 510) from CONSER records. This decision was based on a recognition that the data has served its purpose well, is now readily available online from other sources, and can never be actively maintained in CONSER records.

OCLC began the systematic removal of 510 fields from CONSER records at the end of February 2003. By spring 2003, most of the abstracting and indexing coverage fields were removed from CONSER records.

C14.1. Criteria for the removal of 510 fields

C14.1.1. General information. The decision on removal of 510 fields is based on a hierarchy for inclusion of indexes in the CONSER A&I Project. Emphasis is on the completeness of coverage and the subject discipline of the index in order to take maximum advantage of coverage information.

C14.1.2. Specific procedures. Remove fields in the following order of preference.

- a. 510 first indicator value "0" (coverage unknown)
 - 1) It can be determined that the index does not cover the serial.

- 2) The index name is not correct (i.e., it cannot be identified as a publication due to its shorthand nature or abbreviation)
- b. 510 first indicator value "2" (coverage is selective)

1) Multiple index notes added for one index. More than one note was added for some of the services due to the nature of their list. In these cases, one 510 can be left for the service and the additional notes can be removed. The 510 left in the record should be the one most closely identified with the subject matter of the publication.

Listed below are the groups of multiple 510s (prefer the asterisked note when leaving one index):

America, history and life*
Historical abstracts. Part A. Modern history abstracts
Historical abstracts. Part B. Twentieth century abstracts
(Select the appropriate history subject)

ASTIS bibliography*
ASTIS current awareness bulletin

Computer & control abstracts
Electrical & electronics abstracts
Physics abstracts
(Prefer the appropriate science subject)

Electronics and communications abstracts journal (Riverdale)
ISMEC bulletin
Pollution abstracts with indexes
Safety science abstracts journal
(Prefer the appropriate subject)

Energy information abstracts
Environment abstracts
(Prefer the appropriate subject)

Engineering index annual (1968)*
Engineering index bioengineering abstracts
Engineering index energy abstracts
Engineering index monthly (1984)

Metals abstracts*

World aluminum abstracts

PESTDOC

RINGDOC

VETDOC

(Prefer the appropriate subject)

2) If the removal of the multiple index note is not sufficient, any other 510 2 notes can be removed with the following exceptions:

- (a) Retain Wilson indexes in the records
- (b) Retain all Canadian indexes in the records for Canadian imprints
- (c) Retain Chemical abstracts in the records
- (d) Retain all NLM-maintained indexes: Index medicus, Hospital literature index, Hospital and health administration index, International nursing index, and Index to dental literature.

c. 510 first indicator value "1" (coverage complete).

With the exceptions noted above, prefer the removal of 510 2 before removing any 510 1 notes.

Related fields: 510.